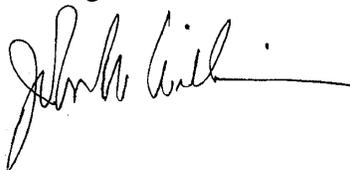


For: RMA Employees

New RMA Performance Management System

Approved by: Deputy Administrator, Management



1 Overview

A Background

One of the standards for success USDA must meet on the President’s Human Capital initiative is to have a result-oriented performance culture. According to the Office of Personnel Management (OPM), a performance management system must effectively differentiate between high and low performance, and develop employee performance plans that are aligned with and support organizational goals.

During FY 2005, all employees, starting with senior managers, developed and implemented new performance plans that were better aligned with and supported the agency’s organizational goals. This alignment is an ongoing process and will be strengthened in the future. For FY 2006, RMA is implementing a new performance management system that will effectively differentiate between high and low performance.

B Legal Authorities

The new RMA Performance Management System is based on:

- 5 U.S.C. Chapter 43
- 5 CFR Parts 430 and 432
- USDA Performance Management System established on June 12, 1996.

C Effective Date

The new RMA Performance Management System was effective October 1, 2005.

D Coverage

The new RMA Performance Management System applies to all RMA employees Nationwide, except for SES, SL, and ST employees.

Disposal Date	Distribution
November 1, 2007	All RMA Employees

1 Overview (Continued)

E Responsibilities

The Administrator is responsible for:

- monitoring program compliance with applicable laws and regulations, Department policies, and collective bargaining agreements
- ensuring program compliance with policy and program direction and administration
- communicating the agency mission, strategic goals and objectives to all levels within their operating administration.

Servicing Personnel Offices (SPO) are responsible for:

- providing technical and operational support and advice to the rating and reviewing officials to help them administer the performance management program in a manner consistent with applicable laws, rules, and regulations
- ensuring that performance plans and ratings of record are maintained in SPO according to the requirement of 5 CFR Parts 293 and 297
- providing training on the performance management program for rating and reviewing officials' responsibilities.

F Labor Management Obligations

Where exclusive representation exists, bargaining may be requested to the extent allowed by applicable statutes. Where contract language addresses these policies and procedures for bargaining unit employees, contract language prevails.

2 Establishing Performance Plans

A Appraisal Period and Documentation

The appraisal period starts October 1 of each year and ends September 30 of the following year.

Performance plans should be established within 30 calendar days of the start of the appraisal period or an employee's assignment to a position.

Performance plans are documented on AD-435A and AD-435B (Exhibit 1).

Note: Employee participation is recommended in establishing or revising performance plans. The final decision, however, shall be made by the employee's supervisor.

B Number of Elements

Establish at least 4 performance elements, but no more than 6 elements for supervisors, and establish at least 3 performance elements, but no more than 5 elements for non-supervisors. See Exhibit 2 for a menu of elements from which the 3 to 5 elements can be selected. Other, job specific elements, may be created, if necessary, including the Mission Results element that was established for National Office employees in FY 2005.

The following elements are mandatory.

- Supervisors and managers must select the "Supervision" element and the supervisory "Equal Opportunity and Civil Rights" element, and must also create an "InformationTechnology" element.
- Non-supervisory employees must select the non-supervisory "Equal Opportunity and Civil Rights" element.

C Critical and Non Critical Elements

Determine which elements shall be critical and which shall be non critical. Critical elements cover duties that are essential to the successful performance of the position. Elements linked to the agency's goals, the "Equal Opportunity and Civil Rights" element, and (for supervisors and managers) the "Supervision" element must be critical. At least 1 element must be non critical. Critical elements will be scored as 2 points on the summary rating; non critical elements will be scored as 1 point.

2 Establishing Performance Plans (Continued)

D Standards

For each element selected, the standards for measuring performance of the element **must** be entered in AD-435 B, item 8. Standards must be observable, measurable, and attainable by the employee. Do not include such phrases as “other duties as assigned”. Further guidance on this subject will be issued before December 31, 2005.

E Alignment With Agency Goals

As mentioned in subparagraph 1 A, performance plan alignment is an ongoing process and offices **must** continue this process in FY 2006.

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3 Processing Performance Plans

A Supervisory Responsibilities

Managers and supervisors shall take the following actions to process a performance plan.

Step	Action
1	Establish performance plan. For each element selected, enter the standard for measuring performance of the element after "Further Clarification As Needed".
2	Review performance plan for accuracy
3	Submit performance plan to reviewing official for signature.
4	Present performance plan to employee. After discussing each element and standard, request that the employee sign and date AD-435A, item 5. Note: Supervisors should attempt to resolve employee concerns about their performance plan. If the employee refuses to sign the performance plan, advise the employee that they still will be placed under the plan and be held accountable for the elements and standards, as described in the plan.
5	If the employee refuses to sign, annotate the performance plan, as follows: "The performance plan was presented to, and discussed with, the employee. The employee refused to sign the date the plan was presented to the employee".
6	Give a copy of the signed or unsigned performance plan to the employee.

B Reviewing Official Responsibilities

The reviewing official shall take the following actions to process a performance plan.

Step	Action
1	Review employee's elements and standards, as submitted by the supervisor, to ensure that the performance plan is: <ul style="list-style-type: none">• in conformance with RMA policy and guidelines• consistent with other performance plans in the work unit.
2	Sign and date AD-435A.

3 Processing Performance Plans (Continued)

C Employee Responsibilities

The employee shall take the following action to process a performance plan.

Step	Action
1	Review presented performance plan with supervisor.
2	Discuss elements and standards that need clarification.
3	Enter a check mark in the box next to “Viewed Discussed”. The employee’s signature certifies that: <ul style="list-style-type: none"> • a discussion took place with the supervisor about the performance plan • the employee has seen the performance plan • the employee has viewed the standards of conduct and has had any questions answered to his/her satisfaction. <p>Note: Employees will still be held accountable for the elements and standards of the performance plan even if they do not sign the plan.</p>

4 Progress Reviews

A Mandatory Progress Reviews

The supervisor shall:

- conduct at least 1 progress review during the 12-month appraisal period between the sixth and ninth month
- inform the employee of their level of performance as it relates to their performance elements and standards.

B Periodic Optional Progress Reviews

Even though only a midyear progress review is required, it is in the best interest of the supervisor and employee to periodically hold performance discussions. An employee may request a meeting for this review. Periodic performance reviews with the employee will:

- provide regular feedback
- keep the channels of communication open
- assist in identifying strengths and weaknesses
- help avoid an unexpected performance rating at the end of the appraisal period.

5 Documenting Performance

A Rating of Record and Reduction-in-Force (RIF)

The rating of record is the performance appraisal that is issued at the end of the appraisal period and becomes part of the employee's performance file. Annual ratings of record are used to establish service credit and retention standing for RIF purposes.

B Obtaining and Completing Performance Appraisals

Supervisors shall:

- use MS Word versions of AD-435 (Exhibit 3), AD-435A, and AD-435B
- except for block 2, complete AD-435 according to the instructions on the form
- enter agency, program, and division or office, such as, RMA, Compliance, ROD, in block 9.

C Appraising Elements

The supervisor will evaluate each performance element and determine which of the following 3 rating levels is most appropriate when comparing the employee's performance with the fully successful performance standard established for that element. Following are the rating levels.

- **Exceeds Fully Successful:** This level generally describes performance that exceeds the fully successful standard for the element being evaluated. Employees performing at this level may display initiative, ownership, and/or unusual independence.
- **Meets Fully Successful:** This level generally describes performance of the solid, effective employee whose work meets normal expectations in terms of quality, quantity, and timelines, as outlined in the fully successful standard.
- **Does Not Meet Fully Successful:** This level describes performance that has failed to fulfill the basic expectation for the work. With assistance from SPO, the rating official must prepare a written statement describing the employee's deficiencies for all elements rated at this level. Early identification and correction of poor performance is strongly recommended.

5 Documenting Performance (Continued)

D Summary Ratings

A 5-level summary rating system summarizes the employee's overall performance and is calculated using the description on AD-435. Following are the summary levels.

- **Outstanding:** all appraisal units are rated "Exceeds Fully Successful".
- **Superior:** More appraisal units are rated "Exceeds Fully Successful" than "Meets Fully Successful" and no elements are rated "Does Not Meet Fully Successful".
- **Fully Successful:** As many or more appraisal units are rated "Meets Fully Successful" than "Exceeds Fully Successful". No critical element is rated "Does Not Meet Fully Successful".
- **Marginal:** More appraisal units are rated "Does Not Meet Fully Successful" than "Exceeds Fully Successful". No critical element is rated "Does Not Meet Fully Successful".
- **Unacceptable:** One or more critical elements are rated Does Not Meet Fully Successful. Should this occur, the rating official shall contact SPO for guidance.

E Due Date

AD-435's, AD-435A's, and AD-435B's shall be completed and distributed by **October 30** according to paragraph 8.

6 Reviewing Performance

A Supervisor Action

Supervisors shall review the performance of their employees by:

- comparing the employee's performance of each element with the standards established on AD-435A and AD-435B
- checking the appropriate rating level for each element
- if necessary, obtaining interim ratings from the employee's prior supervisor or supervisors.

Notes: Supervisor of record shall review and sign AD-435.

Supervisory employees detailed from their positions of record shall:

- provide input to the new supervisor of record about an employee's performance
- include a recommended rating for each performance element.

6 Reviewing Performance (Continued)

B Accountability for Performance Appraisals

Supervisors shall ensure that performance appraisals:

- contain all elements
- designates critical and non critical elements
- weights are properly assigned; that is, 2 points for a critical element and 1 point for a non critical element
- totals are added correctly
- summary rating is properly designated
- employee has checked “responsibilities and conduct” box
- contain the required signatures.

C Providing Additional Information

Supervisors shall provide additional documentation by completing the “Accomplishment” block on AD-435A and AD-435B for each element rated “Exceeds Fully Successful” or “Does Not Meet Fully Successful”.

D Completing the Performance Appraisal

Supervisors shall do the following.

Step	Action
1	Complete AD-435 by transferring the performance elements and appropriate rating level information from AD-435A and AD-435B.
2	Obtain the reviewing official’s approval on AD-435.
3	Discuss the approved rating and basis for the rating with the employee.
4	Forward AD-435, AD-435A, and AD-435B to HRD or KC HR according to paragraph 8

6 Reviewing Performance (Continued)

E Reviewer Action

Reviewers shall:

- discuss the performance and rating of employees with supervisors
- change the ratings, if appropriate
- sign AD-435 certifying approval of original or revised ratings
- return AD-435 to the supervisor for distribution according to paragraph 8.

F Employee Action

Employees shall:

- sign AD-435, certifying receipt of the rating

Note: If the employee refuses to sign the rating the supervisor shall:

- indicate the refusal on AD-435, block 18
 - forward rating to the appropriate servicing personnel office according to paragraph 8.
- complete AD-435, block 17 regarding USDA regulations about employee's responsibilities and conduct.0

8 Distributing Performance Appraisals

A Distributing Appraisals

Supervisors shall distribute the completed performance appraisals according to the following table.

Step	Action
1	Forward the original, completed copies of AD-435, AD-435A, and AD-435B to the appropriate servicing personnel office by October 30.
2	Provide the employee with 1 copy of AD-435, AD-435A, and AD-435B's.
3	Retain 1 copy of AD-435, AD-435A, and AD-435B's for the supervisor's files.

9 Rating Requirements

A Rating Employees

To rate an employee:

- a performance plan must have been established on AD-435A and AD-435B
- the employee must be under a performance plan for at least 90 calendar days.

Notes: If the employee has not been under the plan for 90 calendar days by the end of the appraisal period, the period may be extended by up to 90 calendar days to allow for a rating to be given.

If the employee disagreed with their performance plan and refused to sign it, the supervisor would have noted this in the employee's signature block on AD-435.

10 Multiple Appraisals

A Details and Temporary Promotions

Performance plans shall be established for employees who are detailed or temporarily promoted to other positions in RMA or the Department for 90 calendar days or more. The supervisor responsible for the detail or temporary promotion shall prepare the performance plan and communicate it in writing to the employee within 30 calendar days of the start of the assignment. At the end of the assignment, an interim rating shall be prepared detailing the employees accomplishments, and this shall be considered in deriving the employee's annual rating of record.

When details or temporary promotions are less than 90 calendar days in duration, a performance plan is not required. However, a narrative document shall be prepared detailing the employee's accomplishments, and this shall be considered in deriving the employee's annual rating of record.

When employees are detailed outside the Department, the employing agency must make a reasonable effort to obtain information on the employee's accomplishments from the outside organization.

B Change in Supervisors

When an employee works under different supervisors during the appraisal period, including while on detail, each supervisor of 90 calendar days or more shall prepare an interim rating detailing the employees accomplishments, and this shall be considered in deriving the employee's annual rating of record.

C Position Changes

When an employee changes positions during the appraisal period, and the employee has served for 90 calendar days or more in that position, the supervisor shall prepare an interim rating detailing the employees accomplishments, and this shall be considered in deriving the employee's annual rating of record.

D Transfer of Rating

When an employee moves to another agency or Department, and the employee has served for 90 calendar days or more in their position, the supervisor shall prepare an interim rating detailing the employee's accomplishments, and send to the gaining organization to be considered in deriving the employee's annual rating of record.

11 Monitoring Performance

A Marginal Performance

Supervisors shall assist employees in improving less than “fully successful” performance in a non critical element. The supervisor shall inform the employee as soon as the less than “fully successful” performance is apparent and give a reasonable opportunity to demonstrate acceptable performance. The supervisor shall assist the employee by taking the following actions:

- closer supervisory review of work
- discussions and correction of work products
- advise employee when they have achieved “Fully Successful” performance.

A marginal performance rating may result in the denial of a within-grade increase. Supervisors must contact their SPO for guidance.

B Unacceptable Performance

Supervisors shall assist employees in improving less than “fully successful” performance in a critical element. The supervisor shall inform the employee in writing as soon as the less than “fully successful” performance is apparent and give a reasonable opportunity to demonstrate acceptable performance. This should be accomplished through an Opportunity to Improve (OTI).

OTI:

- provides formal notice to the employee that performance is unacceptable and provides the employee the opportunity to demonstrate acceptable performance
- may include such activities as developmental assignments, structured employee assistance or counseling, formal training, on-the-job training and mentoring.

Careful records must be kept of the assistance offered and results achieved under OTI. The supervisor should take the following actions:

- notify the employee of the element or elements in which performance is unacceptable
- provide the employee specific examples of the unacceptable performance
- inform the employee about the performance requirements or standards which must be attained to demonstrate acceptable performance
- provide a reasonable opportunity period to demonstrate acceptable performance on the element or elements at issue
- provide notice that the employee must improve to the acceptable level by the conclusion of the opportunity period and must sustain that level of performance for at least 1 year from the start of the opportunity period.

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11 Monitoring Performance (Continued)

B Unacceptable Performance (Continued)

Should an employee's performance again become unacceptable in 1 or more of these critical elements, a performance-based adverse action or other alternative action may be proposed without the benefit of an additional OTI. Supervisors must contact their SPO for guidance.

C Prior Administrative Actions

Administrative actions initiated against employees whose performance is "unacceptable" under 5 U.S.C. 4303 and the performance management plan or another program in existence before the effective date of this program shall continue to be processed consistent with that pre-established set of procedures and requirements.

12 Additional Information

A Recognizing Performance

Employees will continue to receive recognition through performance awards (quality step increases and performance bonuses) and superior accomplishment awards (extra effort and quick track awards). Performance award amounts will be established each year by the Administrator and will be announced in a separate notice before the end of each rating period.

B Evaluating the New Performance Management System

The new performance management system will be evaluated for its effectiveness on an annual basis within 90 calendar days of the end of each appraisal period. This evaluation will include such issues as improvement of organizational performance and employee/managerial satisfaction with the system.

C Contacts

If there are any questions about rating employees, supervisors may contact the appropriate SPO according to this table.

IF the supervisor is located in...	THEN contact...
any RMA Office (except Kansas City)	HRD, Performance Management, Benefits, and Awards Branch at 202-418-8975 or TTY 202-418-9116.
RMA Kansas City	KC HR Office, Employee and Labor Relations Section at 816-926-6643 or TTY 816-926-3063.

Performance Plan, Progress Review, and Appraisal Worksheet

Following is an example of AD-435A.

AD-435A <small>(12-86)</small>		UNITED STATES DEPARTMENT OF AGRICULTURE		Page 1 of 2		
PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET						
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE Management Analyst				
3. AGENCY/DIVISION RMA		4. PAY PLAN, SERIES, GRADE GS-1145-13/14		APPRAISAL PERIOD		
				5. START DATE 10/1/05	6. END DATE 9/30/06	
7. PERFORMANCE ELEMENT						
No.	1	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input checked="" type="checkbox"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
<p>Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.</p> <p>Further clarification as needed:</p>						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			Exceeds	Fully Successful	Does Not Meet	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature				Date		
Supervisor's Name (Print)				Supervisor's Signature		
Reviewer's Name (Print)				Reviewer's Signature		
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE						

Performance Plan, Progress Review, and Appraisal Worksheet

Following is an example of AD-435B. Use a different AD-435B for each additional element.

AD-435A (12-86)		UNITED STATES DEPARTMENT OF AGRICULTURE PERFORMANCE PLAN, PROGRESS REVIEW AND APPRAISAL WORKSHEET				
1. NAME (Last, First, M.I.) Smith, John		2. POSITION TITLE Management Analyst				
3. AGENCY/DIVISION RMA		4. PAY PLAN, SERIES, GRADE GS-1145-13/14		APPRAISAL PERIOD		
		5. START DATE 10/1/05		6. END DATE 9/30/06		
7. PERFORMANCE ELEMENT						
No.	1	(Describe below the duty or responsibility for which the employee is accountable and responsible. Indicate if the element is critical or noncritical.)			<input checked="" type="checkbox"/> CRITICAL	<input type="checkbox"/> NONCRITICAL
Execution of Duties						
8. STANDARD (Describe the level expected for "Fully Successful" performance. Include appropriate indicators of quality, quantity, cost efficiency, or timeliness, where applicable.)						
Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames. Further clarification as needed:						
9. ELEMENT RATING (At the end of the rating period, compare the employee's performance with standard and assign an element rating. Refer to documentation, as necessary.)						
			Exceeds	Fully Successful	Does Not Meet	
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. ACCOMPLISHMENTS (Must be completed if employee receives a summary rating of Outstanding. Attach additional sheets if more space is required.)						
11. CERTIFICATION OF DEVELOPMENT AND RECEIPT OF PLAN (Signatures certify discussion with the employee and receipt of plan which reflects current position description.)						
Employee's Signature				Date		
Supervisor's Name (Print)		Supervisor's Signature		Date		
Reviewer's Name (Print)		Reviewer's Signature		Date		
12. PROGRESS REVIEWS (at least one must be completed)						
Employee's Initials and Date			Supervisor's Initials and Date			
Check appropriate copy designation below.						
<input type="checkbox"/> ORIGINAL-OFFICIAL PERSONNEL FOLDER/EMPLOYEE PERFORMANCE FILE COPY <input type="checkbox"/> EMPLOYEE COPY <input type="checkbox"/> SUPERVISOR'S COPY <input type="checkbox"/> AGENCY USE						

Recommended Elements

Execution of Duties: Completed work assignments are performed in a timely manner, assuring a quality of work that meets the needs of the organization. Appropriate work methods are selected for the development of work products. Work products do not require substantive revisions. Assignments are completed in accordance with applicable agency guidelines, including time-frames.

Further clarification as needed:

Communications: Oral and written communications are clear, correct, timely, and presented in an understandable manner. Supervisor and coworkers are informed of issues and problems when necessary. Information and guidance provided is timely and correct.

Further clarification as needed:

Supervision: (Mandatory for all supervisors and managers) Work is assigned in a fair and effective manner. Technical guidance to subordinate staff is given in a timely manner. Performance management is implemented in accordance with procedure. Issues, concerns, or problems are handled promptly and fairly. To the extent possible, staff is properly trained and complies with occupational health and safety programs. Management decisions are supported and implemented within appropriate time-frames.

Further clarification as needed:

Team Leadership: Routinely leads individuals and team members toward specific goals and accomplishments. Provides encouragement, guidance, and direction as needed. Adjusts style to fit situation. Delegates appropriate authority in an effective manner. Coordinates functions of the team members. Demonstrates a sincere interest in employees' activities, abilities, etc.

Further clarification as needed:

Program Management: Manages program(s), resolving issues and problems within the employee's control. Monitors all aspects of program(s) for quality, effectiveness, and consistency. Program plans and guidance are responsive to objectives and requirements of the Agency. Policy instructions are appropriately issued and are accurate. Evaluates effectiveness of work and adjusts plans accordingly.

Further clarification as needed:

Special Projects: Special projects are regularly completed on time in a competent, accurate, and thorough manner. Completed projects comply with regulations and procedures. Special projects are completed independently, or reflect research and collaboration with others as required.

Further clarification as needed:

Recommended Elements (Continued)

Research and Analysis: Thoroughly and accurately researches issues in a timely manner, using available reference sources (e.g., USDA manuals, or applicable law or regulations. Makes reasonable recommendations or decisions based on available guidance.

Further clarification as needed:

Customer Service: Routinely displays courteous and tactful behavior. Projects a positive and professional image of USDA. Provides advice that is timely, responsive and accurate. Maintains appropriate rapport with internal and external customers. Develops and establishes working relationships with external organizations as required. Keeps supervisor and/or team leader informed of difficult and/or controversial issues and unique problems. Takes action to effectively solve problems before they have an adverse impact on the organization or other employees.

Further clarification as needed:

Equal Opportunity & Civil Rights: (Mandatory for all supervisors and managers). Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of working to employ and develop a diverse, yet unified workforce.

Further clarification as needed:

Equal Opportunity & Civil Rights: (Mandatory for all non-supervisory employees). Performs all duties in a manner which consistently demonstrates fairness, cooperation, and respect toward coworkers, office visitors, and all others in the performance of official business. Demonstrates an awareness of EO/CR policies and responsibilities of Agency and Departmental goals of valuing a diverse, yet unified workforce.

Further clarification as needed:

Resource Management: Monitors allocated funds and maintains complete and accurate records of expenditures. Routinely utilizes resources in an efficient and effective manner. Ensures that funds, property and other resources are guarded against waste, loss, unauthorized use, and misappropriation.

Further clarification as needed:

Individual Contributions to the Team: Ordinarily displays dependability and reliability. Promotes open communication. Contributes creative ideas and actively participates in team meetings resulting in added value to the team's products and services. When problems arise, explores causes and assists in resolving them. Works with team members to appropriately implement decisions. Is usually open-minded to new ideas and approaches in implementing the team's goals. Willing accepts and acts on constructive criticism.

Further clarification as needed:

AD-435, Performance Appraisal

Following is an example of AD-435, Performance Appraisal.

United States Department of Agriculture Performance Appraisal		1 Social Security No. 123-45-6789	2 Position Number	3 Pay Plan GS	4 Occup. Series 1145
5 Name (Last, First, Middle Initial) Smith, John		6 Grade/Step or Pay Level 13/4		7 Appraisal Period From 10/01/05 To 09/30/06	
8 Official Position Title Management Analyst		9 Organization Structure Code 13/4			
10 Duty Station Washington, DC		11 Funding Unit	12 Agency Use	13 NFC Use	
<p>Instructions</p> <p>Blocks 1 through 10, completed by NFC, should be reviewed and, if necessary, corrected. Block 11. Enter funding unit number. Block 14. Enter brief description of performance elements. Block 15A. Check performance elements identified as critical.</p> <p>Blocks 15B, 15C., 15D. Rate actual performance by entering 2 for critical elements and 1 for non-critical elements in appropriate column. Blocks 15E, 15F, 15G. Enter total of each column. Block 15H. Enter total from 15E, 15F and 15G. Block 16A. Check off the correct summary rating described in decision table (16B). Blocks 17 through 22. Self-explanatory.</p>					
14 Performance Elements		15A Critical Element (✓)	15B Exceeds Fully Successful	15C Meets Fully Successful	15D Does Not Meet Fully Successful
1) Execution of Duties		X	2		
2) Equal Opportunity & Civil Rights		X	2		
3) Individual Contributions to the Team				1	
4)					
5)					
6)					
7)					
8)					
9)					
10)					
16B Decision Table (check off Summary Rating in block 16A)			15E Exceeds	15F Meets	15G Does Not Meet
Rating of Outstanding if 15E equals 15H. Rating of Unacceptable 1/ if any critical element is rated in 15D. Rating of Superior if no element is rated in 15D; 15F is greater than zero; and 15E is greater than 15F. Rating of Marginal 2/ if 15G is greater than 15E, and no critical element is rated in 15D. Rating of Fully Successful if none of the above apply. 1/ Unsatisfactory for SES 2/ Minimally Satisfactory for SES			4	1	0
15H Enter total			15H		
15E + 15F + 15G = 15H			5		
16A Summary Rating (See Decision Table in 16B)					
<input type="checkbox"/> Outstanding <input checked="" type="checkbox"/> Superior <input type="checkbox"/> Fully Successful <input type="checkbox"/> Marginal 2/ <input type="checkbox"/> Unacceptable 1/					
1/ Unsatisfactory for SES 2/ Minimally Satisfactory for SES					
17 Employee (Check off appropriate box)		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
18 Employee's Signature		Date	If employee did not sign, state reason.		
(Instructions for resolutions of disputes are on the reverse of employee copy.)					
19 Supervisor's Signature		Date	20 Reviewer's Signature		Date
21 Approving Official's or Funding Unit Manager's Signature (optional)		Date	22 FOR SES ONLY		
			PLA to ES _____		Bonus Amount _____